

SECTION 2. FORMS PTO/SB/08A and 08B (formerly Form PTO-1449)**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Hambrecht, et al Attorney Docket: 2955/107
Serial No: 10/632,818 Art Group Unit: 3691
Date Filed: Aug. 4, 2003 Examiner Name: Campen, Kelly Scaggs
Invention: Auction System and Method for Pricing and Allocation During Capital Formation

**LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

U.S. PATENT DOCUMENTS					
Examiner Initials	Reference Number	Document Number	Issue Date	Inventor	Class/Subclass
	ET	US 7,062,460	06/2006	Growney, et al.	705/37
	EU	US 6,317,727	11/2001	May, R. Raymond	705/36R
	EV	US 6,285,989	09/2001	Shoham, Y.	705/37
	EW	US 6,006,201	12/1999	Berent, et al.	705/27
	EX	US 5,890,138	03/1999	Godin, et al.	705/26
	EY	US 5,835,896	11/1998	Fisher, et al.	705/37

OTHER DOCUMENTS			
Examiner Initials	Reference Number	Author	Title of Article, Title of Journal, Volume Number, Page Numbers, Date
	EZ	Cramton, Peter	"Ascending Auctions," European Economic Review, 42:3-5 (1998) 745-756
	FA	Lengwiler, Yvan	"The Multiple Unit Auction with Variable Supply," Finance and Economics Discussion Series, 1998-28 Board of the Governors of the Federal Reserve System (U.S).
	FB		"What is Proxy Bidding?" pp 1-3, WiseGEEK, available @ http://www.wisegeek.com/what-is-proxy-bidding.html , last accessed 7/2/2007
	FC		"Tips for Buyers," pp 1-3, E-bay, 1013/1999, available @ http://web.archive.org/web/19991013024945/pages.ebay.com/help/buycguide/bidding-tips.html , last accessed 7/24/2007

Examiner Signature: _____

Date Considered: _____

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation *if not* in conformance and not considered. Include copy of this form with next communication to applicant.